

# **Enhancing Grants Management for Subrecipients**

Sub-grantee Technical Assistance Workshop  
For  
Homeland Security Grant Programs

# AGENDA

- **Welcome & Introductions**
- **Grants Management**
  - **Business Process “Grant Cycle”**
- **Q&A Period**
- **Lunch**
- **One on One Technical Assistance**

# Introductions



# Why this Technical Assistance?

- **Develop a partnership**
- **Importance of Effective and Efficient Resource Management**
- **State and Local Requests**

# Workshop Objectives

- **Recognize the Business Practices of Grants Management**
- **Focus on Critical Events in the Grants Management Cycle**
- **Problem Solve on Specific Issues (Q&A)**

# Homeland Security Program Grants Management

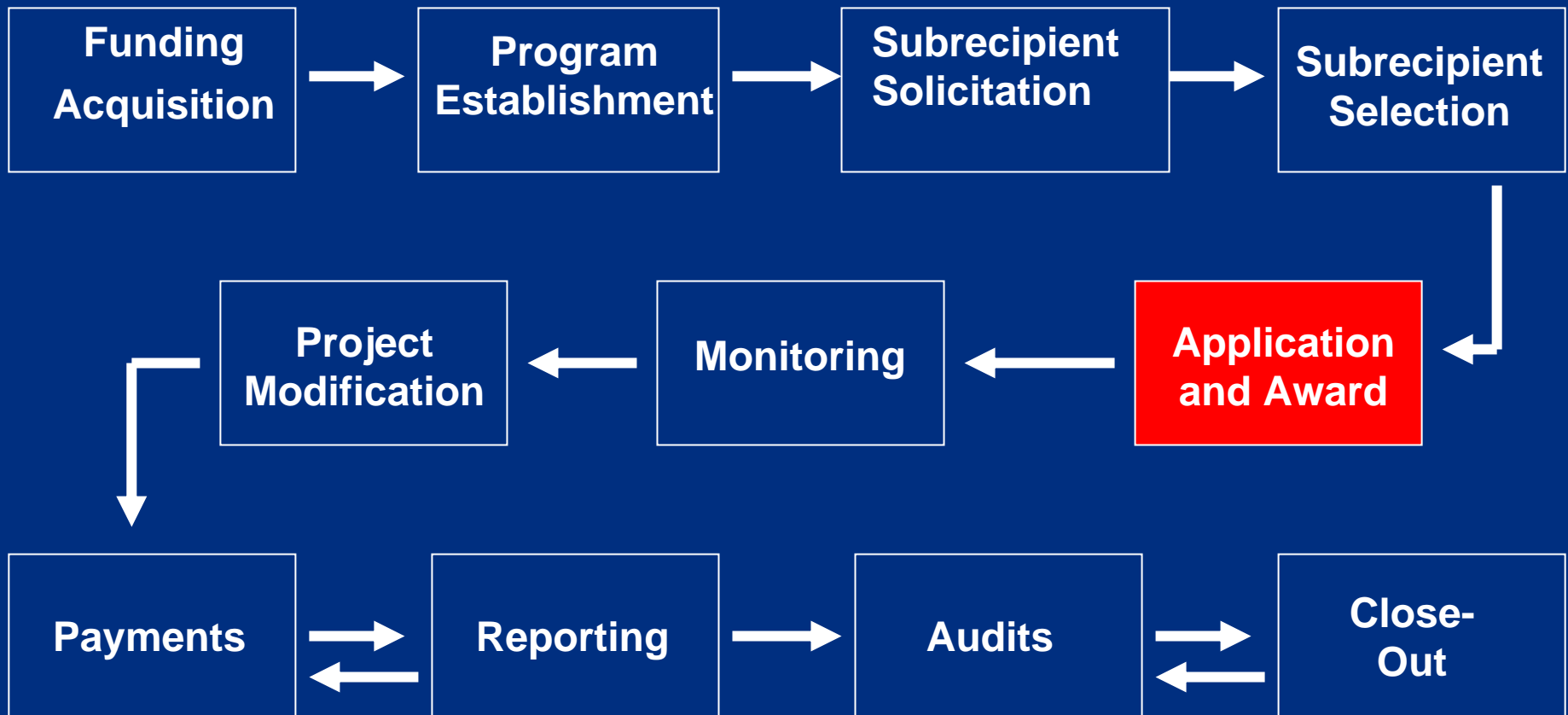
From the Top



# **Grants Management Business Process**

- **Applies to All Grant Programs**
- **Manages Resources**
- **Creates Common Framework and Communication**

# Business Process = The Grants Cycle





# Business Process = The Grants Cycle

**Program  
Establishment**



# Getting Started

- **October 2007 – Regional Meetings were held to establish projects.**
- **November 2007 – Projects were approved and moved forward by the SIEC**
- **December 2007 – Investment justifications were submitted to FEMA.**
- **May 2008 – The Commonwealth received full funding.**

# Getting Started

- **Program Elements**

- **Performance Period is 10-1-2007 through 3-31-2010**
- **Cost Share/Match can be captured starting 10-1-2007.**
- **Projects must be a new or unique component**
- **Any project modifications must be approved by the CICO and VDEM Grants Office**

# Business Process = The Grants Cycle

**Application  
Process**



# Prepare Applications and Guidelines

- Application and Certifications and Assurances
  - <http://www.vaemergency.com/grants/forms/>
  - Require Budget and Program Narratives
  - Project Narrative/Implementation Steps (Optional)
- Written Concurrence
- RKB Website - List the AEL number next to each piece of equipment



Microsoft  
Word Document



Microsoft  
Word Document

# Business Process = The Grants Cycle



**Award  
Process**

# Subawards and Release of Funds

- **Award & Special Conditions Released**
  - **Request for Funds Form**
- **Forms on Website**
  - **State HSGP Policies and Procedures (Administrative Guide)**
  - **Reporting Forms and Instructions (Quarterly Reports)**
  - **Close-out Forms and Instructions**

<http://www.vaemergency.com/grants/forms/>

# Business Process = The Grants Cycle



**Financial  
Management**



# OMB Circulars

## Which Do I Follow?

- State, Local Governments and Indian Tribes
  - A-87 for Cost Principles
  - A-102 for Administrative Requirements
  - A-133 for Audit Requirements
- [www.whitehouse.gov/OMB/grants/index.html](http://www.whitehouse.gov/OMB/grants/index.html)

# Organizing for All Grant Stages

- **Six (6) Sections for Suggested File Format**
  - 1. Progress/Evaluation Reports and Forms**
  - 2. Blank Forms and Due Dates**
  - 3. Financial Reports and Special Conditions**
    - 1. Cost Share Requirements**
  - 4. Application, Award Documents, GANs**
  - 5. Original Application Submitted Prior to Award**
  - 6. Correspondence**

# Procurement

- **Follow your Procurement rules, default to the State then Federal guidelines if not in place**
- **Sole Source**
  - **Definition from 28 CFR 66**
    - **If, After Completion of the Competitive Bidding Process, Only One Responsive Bid is Received (Less Than Two Complete Competitive Bids Received)**
  - **Project Director Official Signature**

# Fiscal Matters

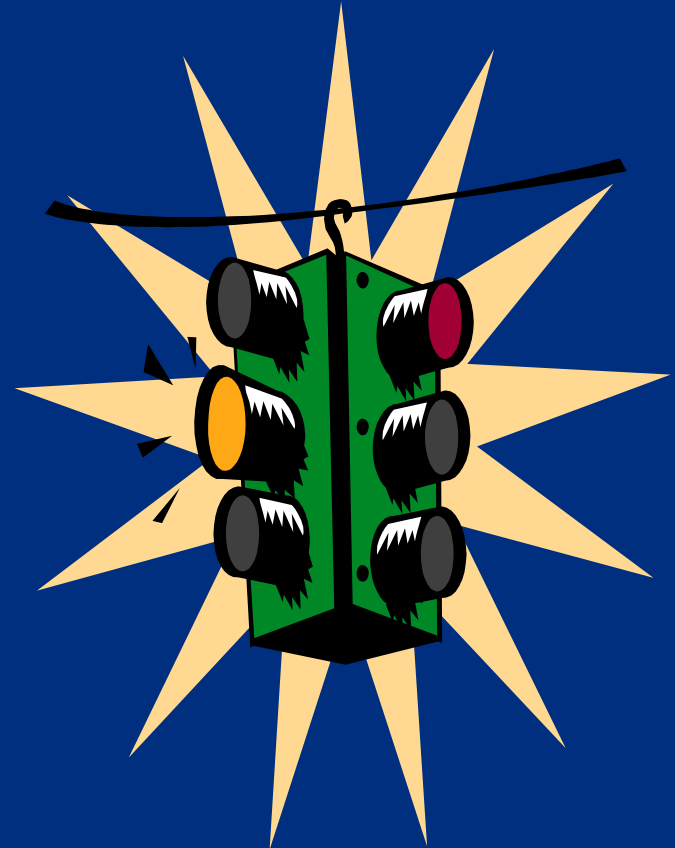
“Show Me the Money”



# Fiscal Matters

## Proceed with Caution

- Allowable/Unallowable Costs
- Prior Approval Costs
- Time and Effort
- Supplanting
- Consultants



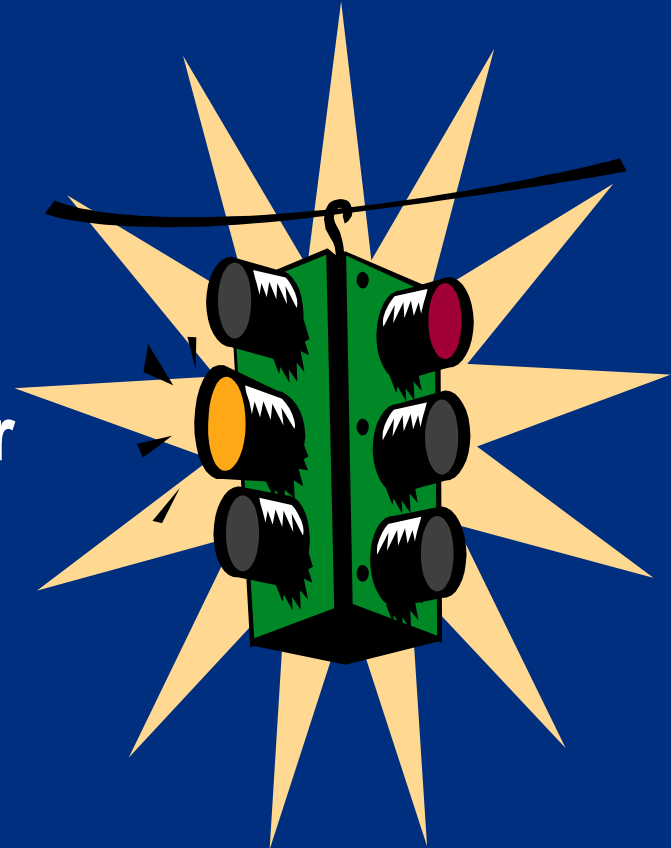
# Fiscal Matters

## Proceed with Caution

- Match
- Service/Maintenance Agreements
- Excessive Spending Near End of Grant Period
- Records Retention



sample



# Business Process = The Grants Cycle



# **Subrecipient Monitoring**

- **Desk Monitoring Occurs with each Request for Funds**
- **Requirements During On-Site Monitoring Visit**
  - **Application Forms**
  - **Guidelines and Procedures**
  - **Grant Terms and Conditions**
  - **Subrecipient Special Conditions**



# Subrecipient Monitoring

- **Reporting**
  - **Financial**
  - **Progress**
  - **Property Control**
  - **Revisions/Extensions**
  - **Procurement Procedures and Form**
  - **Ensure All GANs are in Grant File**
  - **Review Special Conditions**
  - **Review Equipment and Planning Budgets**
- **Biennial Strategy Implementation Report (BSIR)**
  - **training will be offered in July**

# Subrecipient Monitoring

- **Are Funds Used Responsibly?**
- **Two Primary Areas**
  - **Compliance with Grant Rules and Reporting**
  - **Support Strategic Goals and Objectives of the State Communications Interoperable Plan (SCIP)**
    - <http://www.interoperability.virginia.gov/StrategicPlans/index.cfm>

# Subrecipient Monitoring

- **Monitoring Schedule**

- **Goals**

- **50% Site Visits – January – June 2009**
    - **100% by End of Subrecipient's Grant Period**

**ALL SUB-GRANTEES WILL BE MONITORED**

# Business Process = The Grants Cycle



# Grant Revisions

- **End of Performance Period – March 31, 2010**
- **Revision Form**



Microsoft  
Excel Worksheet

# Grant Revisions

- **Document Approval with GAN**



sample

- **Examples:**

- **Programmatic: Change in Strategy Objectives**
- **Financial: Re-budgeting Remaining Funds**

# Grant Revisions

- **Compliant with OMB Circulars**
- **Allowable, Allocable, Reasonable**
- **Comply with Grant Terms and Conditions**

# Business Process = The Grants Cycle





# Reimbursement

- **Subrecipient Requests for Reimbursement**
  - **Funds Disbursed as Costs Incurred and/or Submitted At Least Once Quarterly**
  - **Cost Share/Match should be submitted with reimbursement request**



Microsoft  
Excel Worksheet

- **Normally reimbursement will take 10 working days**
  - **Not Exceed Total Grant Award or Unallowable Cost**

# Reimbursement

- **What needs to be included with the Request for Funds Form?**

## **Provide Proof of Payment**

- **Invoices**
- **Copy of Cancelled Check with documentation and procurement documentation**

# Business Process = The Grants Cycle



# Program and Financial

- **Quarterly Financial Reports**
  - **First report due October 15, 2008**
    - **Period of June - September**
- **Biannual Strategy Implementation Report (BSIR)**
  - **Due in January, July and at Close-out**
- **Combination of two quarterly reports reported on the BSIR**

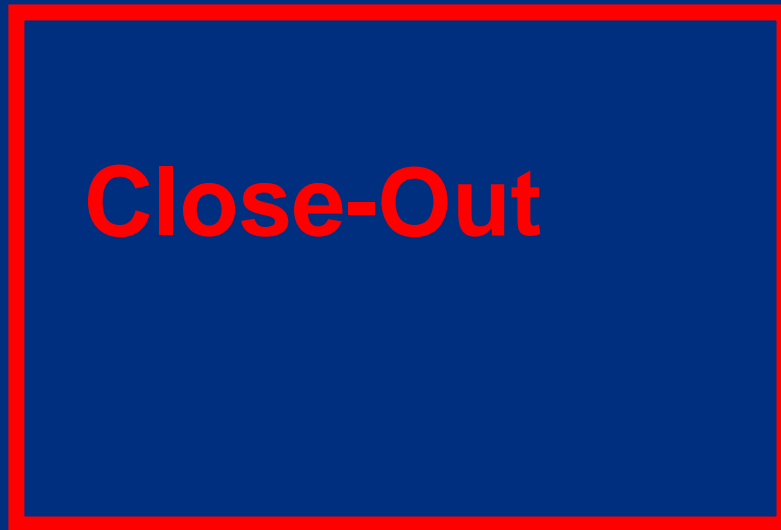
# Business Process = The Grants Cycle



# Top Ten Findings

- **Inadequate Accounting Procedures**
- **Reported Expenditures Not Supported**
- **FSRs Not Timely submitted**
- **Excess Cash on Hand**
- **Lacking Inventory Control Procedures**
- **Inadequate Subrecipient Monitoring Procedures**
- **Accounting Records Not Reconciled to FSR**
- **Progress Reports Not Submitted**
- **T & A Records Inadequate**
- **Single Audit Reports Not Submitted**

# Business Process = The Grants Cycle



# Subrecipient

- **Final Request for Reimbursement**
  - **Due 45 Days after End of Grant Period (3/31/10)**
    - **May 15th**
  - **Include Total Expenditures**
    - **Sub-Category Name**
    - **Federal Amount**
    - **Subrecipient Amount (Match)**
    - **Discipline**
    - **Strategy Goal/Objective**
- **Coming soon.....Revised Close Out Report**
  - **(posted to the VDEM Website)**



# Success!



# Secrets for Success

- **Partnership - Partnership - Partnership**
- **Clear and Concise Communication**
- **Develop Policies and Procedures (Workgroups)**
- **Attend Workshops (Financial and Programmatic)**
- **Keep Your Eye on Strategy**
  - **Goals, Objectives, and Priorities**
- **Focus on What Matters Most**
- **Be a Change Agent**

# Requesting Grants Mgt. TA

- **Ask Your Grant Specialist**
  - Phone Call Email A Request to:
    - Joann Maher – 897-6500 ext. 6601
      - [Joann.maher@vdem.virginia.gov](mailto:Joann.maher@vdem.virginia.gov)
    - Bill Lawson – 897-6500 ext. 6604
      - [William.lawson@vdem.virginia.gov](mailto:William.lawson@vdem.virginia.gov)

# Workshop Conclusions

- You Understand the **Business Practices**
- You Know the **Critical Events**
- **Who to Contact?**
- Grant Management Questions – VDEM Grant Office
- Technical Questions – Commonwealth Interoperability Office @ 804 - 225-3800